

Summary of Changes

to

470.1-1

Safeguards and Security Awareness Program

Revised Version Issued as P 470.1-1A of 9/8/04

NETL Procedure 470.1-1, Safeguards and Security Awareness Program, of 5/6/03, has undergone revisions. Revisions include changing the Safeguard and Security Officer title to Facility Security Officer. Other changes were to make the Procedure consistent with other Security directives and minor changes for clarity. Please replace NETL Procedure 470.1-1 with NETL Procedure 470.1-1A.

The most recent and official controlled hard copy version of this directive resides with NETL's Directives Coordinator. An electronic version of the controlled directive has been placed on the NETL Intranet for employee use. Printed hard copies of this electronic version are considered noncontrolled documents.

U.S. Department of Energy

National Energy Technology Laboratory

PROCEDURE

P 470.1-1A

DATE: 9/8/04

SUBJECT: SAFEGUARDS AND SECURITY AWARENESS PROGRAM

1. PURPOSE. To provide specific and detailed requirements and procedures for the systematic implementation of the NETL Safeguards and Security Awareness Program. This Procedure supplements DOE Manual 470.1-1, *Safeguards and Security Awareness Program*.
2. CANCELLATION. This Procedure replaces NETL Procedure 470.1-1, *Safeguards and Security Awareness Program*, of 5/6/03.
3. REFERENCES.
 - a. DOE Order 470.1, [Safeguards and Security Program](#), Chapter IV, "Safeguards and Security Awareness Program."
 - b. DOE Manual 470.1-1, [Safeguards and Security Awareness Program](#).
 - c. DOE Manual 472.1-1, [Personnel Security Program Manual](#).
 - d. NETL Order 470.1, [Safeguards and Security Program](#).
 - e. NETL Procedure 473.1-1, [Issuance and Control of Security Badges and Access Cards](#).
 - f. SF-312, [Classified Information Nondisclosure Agreement](#).
 - g. DOE F 5631.29, [Security Termination Statement](#).
4. DEFINITIONS.
 - a. Access Authorization -- A written authorization issued by the appropriate office of the Department of Energy, granting access to classified material or to restricted access areas.
 - b. Employee -- Persons employed by the Department of Energy, the site support services contractor, and any other contractors whose primary place of employment is either the Pittsburgh or Morgantown site. The person must meet the requirements for being issued a permanent employee badge per NETL Procedure 473.1-1, *Issuance and Control of Security Badges and Access Cards*.

INITIATED BY: Office of Institutional and Business Operations
NO. OF PAGES/ATTACHMENTS: 4 pages

- c. NETL Safeguards and Security Awareness Coordinator -- The NETL Facility Security Officer shall be the NETL Safeguards and Security Awareness Coordinator, unless otherwise appointed by separate memorandum. By signing and approving this Procedure, the Associate Director of the Office of Institutional and Business Operations is appointing the NETL Facility Security Officer as the NETL S&S Awareness Coordinator. Responsibilities are those assigned in DOE Manual 470.1-1 and those listed herein.

5. QUALITY CONTROL. Quality control of this Procedure and the NETL S&S Awareness Program will be ensured by the NETL Safeguards and Security Awareness Coordinator and the NETL Safeguards and Security Program. As such the NETL Safeguards and Security Awareness Program and this Procedure shall be reviewed during the annual self-assessment process and the DOE Headquarters' Safeguards and Security Periodic Survey.

6. RESPONSIBILITIES.

- a. The NETL Safeguards and Security Awareness Coordinator shall:

- (1) Fulfill the duties as assigned by DOE Manual 470.1-1 and in this Procedure.
- (2) Revise this Procedure as necessary.
- (3) Possess the qualifications listed by DOE Manual 470.1-1.
- (4) Complete training as required by DOE Manual 470.1-1.

- b. Managers and supervisors shall ensure subordinates complete all required security training.

- c. Employees shall:

- (1) Maintain an awareness of the NETL Safeguards and Security Program and shall comply with its requirements as discussed in the security briefings.
- (2) Complete all required security training.

7. TRAINING REQUIREMENTS. No additional training is required for implementation of this Procedure.

8. DOCUMENT CONTROL. Documentation will be controlled as described in DOE Manual 470.1-1 and as stated in each section detailing each briefing type.

9. PROCEDURE.

NETL shall follow the requirements as stated in DOE Manual 470.1-1. Specific actions to be taken by NETL are further clarified and amended as follows:

- a. Program management shall be done in accordance with the manual.
- b. Briefings
 - (1) **Initial Briefing:** Uncleared personnel must receive an initial briefing before assuming their duties. The initial briefing will be issued via a computer-based training module titled "NETL Initial Security Briefing." This training shall be required prior the issuance of a permanent employee badge. This requirement is also identified as part of the initial employee orientation process. In cases where the employee cannot access the NETL training system, the person will complete a printed version of the training and the action reflected in the training database. A paper certification of the training completion shall be maintained by the Training Office. Records of completion shall be maintained by the training database.
 - (2) **Annual All Employees Security Briefing:** This briefing is intended for all NETL employees on an annual basis and is a part of NETL's Operational Security Program, **NETL's Counter Intelligent Program**, and also serves to increase awareness of NETL's S&S Program by including a section of general security information as well. This part of the briefing is considered part of NETL supplementary awareness activities. This training is a computer-based training module. Records shall be maintained by the training database.
 - (3) **Comprehensive Briefing:** A cleared individual must receive a comprehensive briefing upon receipt of an access authorization and before receiving access to classified matter or special nuclear materials. The comprehensive briefing is also required when an access authorization is transferred to NETL. The comprehensive briefing can be completed in two ways: **either by CBT or hard copy**. For persons without access, such as at remote locations, a paper version can be completed. Regardless of the format taken, the person shall then complete SF-312, Classified Information Nondisclosure Agreement, in the presence of NETL **Facility** Security Officer or their designee. A memorandum containing this designation must be attached to each SF-312, witnessed by someone other than the NETL **FSO**. The SF-312 shall remain in the person's security file at the Security Office where the associated badge was issued. The **debriefing/termination section of the** SF-312 shall be completed upon termination of the access authorization. For comprehensive briefings completed via paper format, the Training Office shall be informed in writing by the issuing Security Office that the briefing was completed. This information shall be reflected in the training database.

- (4) **Refresher Briefing:** Cleared individuals must receive an annual Refresher Briefing. NETL shall achieve this by offering a CBT module to those having access. Persons without access shall complete a paper version or CD and return their documentation to the NETL Training office. The NETL Training Database will serve as documentation of the completion of this training. Persons not completing this requirement will be subject to having their access authorization terminated at the discretion of the NETL FSO.
- (5) **Termination Briefing:** A termination briefing is required whenever an access authorization has been or will be terminated. The termination briefing shall consist of the individual reading and signing DOE F 5631.29, Security Termination Statement, and the original SF-312, Classified Information Nondisclosure Agreement, which has been kept in the person's security file at the issuing Security Office. The SF-312 shall be completed in the presence of NETL Facility Security Officer or their designee. A memorandum containing this designation must be attached to each SF-312 witnessed by someone other than the NETL FSO. If the original is not available, a new SF-312 will be completed as appropriate. NETL termination briefings shall be conducted in one of two manners. The first and preferred manner is by having the person complete the briefing at the issuing office. The second method is a remote briefing which shall be coordinated by the NETL S&S Awareness Coordinator on a case by case basis. If a person is unavailable for termination briefing, the reasons for unavailability and termination must be documented in a written notice in accordance with DOE Manual 472.1-1.

Documentation of the termination briefing shall be handled as follows: (1) the DOE F 5631.29, Security Termination Statement, or the written notice required by DOE Manual 472.1-1 shall be forwarded to DOE HQ Office of HQ Security Operations, Personnel Security Division, and (2) the completed SF-312 shall be placed into a temporary collection file during the course of each calendar year. At the beginning of each calendar year, the file shall be forwarded to NETL Records for retention in accordance with GRS 18 Item 25.

- c. Classified Information Nondisclosure Agreements shall be done in accordance with the Manual. The Captain of each protective force contractor is hereby authorized to accept an Agreement from a contractor employee on behalf of the U.S. Government. The NETL FSO must witness a DOE employee's agreement.
- d. Supplementary Awareness Activities shall be done in accordance with the Manual.

Associate Director, OIBO